

## § 140.1

## 17 CFR Ch. I (4–1–13 Edition)

- 140.91 Delegation of authority to the Director of the Division of Trading and Markets.
- 140.92 Delegation of authority to grant registrations and renewals thereof.
- 140.93 Delegation of authority to the Director of the Division of Clearing and Intermediary Oversight.
- 140.94 Delegation of authority to the Director of the Division of Clearing and Risk.
- 140.95 Delegation of authority with respect to withdrawals from registration.
- 140.96 Delegation of authority to publish in the FEDERAL REGISTER.
- 140.97 Delegation of authority regarding requests for classification of positions as bona fide hedging.
- 140.98 Publication of no-action, interpretative and exemption letters and other written communications.
- 140.99 Requests for exemptive, no-action and interpretative letters.

### **Subpart C—Regulation Concerning Conduct of Members and Employees and Former Members and Employees of the Commission**

- 140.735–1 Authority and purpose.
- 140.735–2 Prohibited transactions.
- 140.735–2a Prohibited interests.
- 140.735–3 Non-governmental employment and other outside activity.
- 140.735–4 Receipt and disposition of foreign gifts and decorations.
- 140.735–5 Disclosure of information.
- 140.735–6 Practice by former members and employees of the Commission.
- 140.735–7 Statutory violations applicable to conduct of Commission members and employees.
- 140.735–8 Interpretative and advisory service.

AUTHORITY: 7 U.S.C. 2 and 12a.

### **Subpart A—Organization**

#### **§ 140.1 Headquarters office.**

(a) *General.* The headquarters office of the Commission is located at Three Lafayette Centre, 1155 21st Street, NW., Washington, DC 20581.

(b) [Reserved]

[48 FR 2734, Jan. 21, 1983, as amended at 60 FR 49335, Sept. 25, 1995]

#### **§ 140.2 Regional office—regional coordinators.**

Each of the Regional offices described herein functions as set forth in this section under the direction of a Regional Coordinator who, as a collateral duty, oversees the administration

of the office and represents the Commission in negotiations with employee union officials and in interactions with external parties. Each regional office has delegated authority for the enforcement of the Act and administration of the programs of the Commission in the particular regions.

(a) The Eastern Regional Office is located at 140 Broadway, New York, New York, 10005 and is responsible for enforcement of the Act and administration of programs of the Commission in the States of Alabama, Connecticut, Delaware, Florida, Georgia, Kentucky, Maine, Maryland, Massachusetts, Mississippi, New Hampshire, New Jersey, New York, North Carolina, Pennsylvania, Rhode Island, South Carolina, Tennessee, Vermont, Virginia, and West Virginia.

(b) The Central Regional Office is located at 525 West Monroe Street, Suite 1100, Chicago, Illinois 60661 and is responsible for enforcement of the Act and administration of programs of the Commission in the States of Illinois, Indiana, Michigan, Ohio and Wisconsin.

(c) The Southwestern Regional Office is located at Two Emanuel Cleaver II Blvd., Suite 300, Kansas City, Missouri 64112, and is responsible for enforcement of the Act and administration of the programs of the Commission in the States of Alaska, Arizona, Arkansas, California, Colorado, Hawaii, Idaho, Iowa, Kansas, Louisiana, Minnesota, Missouri, Montana, Nebraska, Nevada, New Mexico, North Dakota, Oklahoma, Oregon, South Dakota, Texas, Utah, Washington, and Wyoming.

[69 FR 41426, July 9, 2004, as amended at 72 FR 16269, Apr. 4, 2007]

### **Subpart B—Functions**

#### **§ 140.10 The Commission.**

The Commission is composed of a Chairman and four other Commissioners, not more than three of whom may be members of the same political party, who are appointed by the President, with the advice and consent of the Senate, for 5-year terms, one term ending each year. The Commission is